

Customer Number
00909

Application Serial No.: 09/732,008
Attorney Docket No.: 019213-0311422

LISTING OF CLAIMS:

1. **(Currently Amended)** A computer implemented method for providing a an electronic collaboration tool with which a financial services client and one or more financial services provider participants may interact comprising the steps of:
 - a) enabling ~~a client to authorize~~ authorization of one or more participants to access client data;
 - b) enabling ~~the a client or participant~~ to submit client data to the electronic collaboration tool;
 - c) enabling the client to submit one or more requests for one or more services to the electronic collaboration tool;
 - d) enabling the client to interact with one or more financial service provider participants through the electronic collaboration tool wherein the electronic collaboration tool further enables interaction among participants wherein interaction comprises exchange of client data.
2. **(Original)** The method of claim 1 wherein participants comprise advisors.
3. **(Original)** The method of claim 1 wherein participants comprise one or more entities authorized by the client to participate in the collaboration tool.
4. **(Original)** The method of claim 1 further comprising the step of e) enabling the client to define the scope of authorization for each participant.
5. **(Original)** The method of claim 1 wherein client data comprises financial documents.

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6. (Original) The method of claim 1 wherein participants comprise financial advisors associated with the client.

7. (Original) The method of claim 1 wherein client data comprises client work product wherein client work product comprises one or more documents, strategies, ideas, plans, correspondences and communications.

8. (Original) The method of claim 1 further comprising the step of f) enabling the client to view participant input wherein participant input comprises one or more of edits, analysis and comments related to client data.

9. (Original) The method of claim 1 further comprising a step of g) enabling the client to define one or more triggering events and one or more alert mechanisms for notifying the client of the occurrence of the one or more triggering events.

10. (Original) The method of claim 1 further comprising a step h) enabling the client to access a client history database wherein the client history database maintains information related to previous updates.

11. (Currently Amended) A computer implemented method for providing a an electronic collaboration tool with which one or more financial service provider participants may collaborate with each other comprising the steps of:

- a) enabling the one or more participants to receive authorization by a client to access client data;
- b) enabling the one or more financial service provider participants to access the collaboration tool where the collaboration tool enables the client to interact with one or more financial service provider participants and enables the financial service provider participants to interact with each other wherein client data is exchanged; and

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c) enabling the one or more financial service provider participants to access client data, as authorized by the client.

12. (Original) The method of claim 11 wherein participants comprise advisors.

13. (Original) The method of claim 11 wherein participants comprise one or more entity authorized by the client to participate in the collaboration tool.

14. (Original) The method of claim 11 further comprising the step of enabling the client to define the scope of authorization for each participant.

15. (Original) The method of claim 11 wherein client data comprises financial documents.

16. (Original) The method of claim 11 wherein participants comprise financial advisors associated with the client.

17. (Original) The method of claim 11 wherein the client data comprises client work product wherein client work product comprises one or more of documents, strategies, ideas, plans, correspondences and communications.

18. (Original) The method of claim 11 further enabling the participant to provide participant input wherein participant input comprises one or more edits, analysis and comments related to client data.

19. (Original) The method of claim 11 wherein participant activity is stored in a history database.

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20. **(Currently Amended)** A computer implemented system for providing a an electronic collaboration tool with which a financial services client and one or more financial service provider participants may interact comprising:

- a) authorization means for enabling ~~a client to authorize~~ authorization of one or more financial service provider participants to access client data;
- b) data means for enabling ~~the a client or participant~~ to submit client data to the electronic collaboration tool;
- c) request means for enabling the client to submit one or more requests for one or more services to the collaboration tool; and
- d) interaction means for enabling the client to interact with one or more financial service provider participants through the collaboration tool wherein the collaboration tool further enables interaction among participants wherein interaction comprises exchange of client data.

21. **(Original)** The system of claim 20 wherein participants comprise advisors.

22. **(Original)** The system of claim 20 wherein participants comprise one or more entities authorized by the client to participate in the collaboration tool.

23. **(Original)** The system of claim 20 further comprising scope means for enabling the client to define the scope of authorization for each participant.

24. **(Original)** The system of claim 20 wherein client data comprises financial documents.

25. **(Original)** The system of claim 20 wherein participants comprise financial advisors associated with the client.

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26. (Original) The system of claim 20 wherein client data comprises client work product wherein client work product comprises one or more of documents, strategies, ideas, plans, correspondences and communications.

27. (Original) The system of claim 20 further comprising the view means for enabling the client to view participant input wherein participant input comprises one or more of edits, analysis and comments related to client data.

28. (Original) The system of claim 20 further comprising alert means for enabling the client to define one or more triggering events and one or more alert mechanisms for notifying the client of the occurrence of the one or more triggering events.

29. (Original) The system of claim 20 further comprising a history database for storing information related to previous updates.

30. (Currently Amended) A computer implemented system for providing a collaboration tool with which one or more participants may collaborate with each other comprising:

- a) authorization means for enabling the one or more participants to receive authorization by a client to access client data;
- b) access means for enabling the one or more participants to access the collaboration tool where the collaboration tool enables the client to interact with one or more participants and enables the participants to interact with each other wherein client data is exchanged; and
- c) data means for enabling one or more participants to access client data, as authorized by the client.

31. (Original) The system of claim 30 wherein participants comprise advisors.

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32. **(Original)** The system of claim 30 wherein participants comprise one or more entity authorized by the client to participant in the collaboration tool.
33. **(Original)** The system of claim 30 further comprising scope means for enabling the client to define the scope of authorization for each participant.
34. **(Original)** The system of claim 30 wherein client data comprises financial documents.
35. **(Original)** The system of claim 30 wherein participants comprise financial advisors associated with the client.
36. **(Original)** The system of claim 30 wherein client data comprises client work product wherein client work product comprises one or more of documents, strategies, ideas, plans, correspondences and communications.
37. **(Original)** The system of claim 30 further comprising input means for enabling the participant to provide participant input wherein participant input comprises one or more of edits, analysis and comments related to client data.
38. **(Original)** The system of claim 30 wherein participant activity is stored in a history database.
39. **(Previously Presented)** A computer implemented method for providing a collaboration tool with which a client of more than one financial services advisor and one or more financial services advisor participants may interact comprising the steps of:
 enabling a client of more than one financial services advisor to submit personal and financial data to the collaboration tool;
 enabling the client to authorize one or more financial services advisor participants to access personal and financial data about the client;

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enabling the client to submit one or more requests for one or more services to the collaboration tool, wherein the collaboration tool further comprises:

a client module that enables the client to access data associated with the client and define data level access control for one or more financial services advisors;

an advisor module that enables one or more financial services advisors to select a client for which the client has previously granted the financial services advisor access to that clients data, and to select an activity related to the selected client;

a client history database that stores data related to the client and records activity associated with the client; and

a collaboration module that enables a client and one or more authorized financial services advisors to communicate online.

40. **(Previously Presented)** The computer implemented method of claim 39 wherein the client module further comprises:

an action request module that enables a client to request one or more financial services advisors to update one or more of the client's files; and

a program alert module that enables the client to define personalized alerts in response to triggering events defined by the client.

41. **(Previously Presented)** The computer implemented method of claim 39 wherein the collaboration module further comprises:

a document view module that enables a client and one or more authorized financial services advisors to view and edit one or more documents related to the client that are stored in a central repository;

an update module that enables the client and one or more financial services advisors to view a summary of modifications performed relative to one or more documents; and

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a chat board that enables the client and one or more financial services advisors to engage
in a real time online conference.